

## Complaint Form

Name: \_\_\_\_\_

Date of Birth: \_\_\_\_/\_\_\_\_/\_\_\_\_

Address: \_\_\_\_\_

Soc. Sec. #: \_\_\_\_\_-\_\_\_\_-\_\_\_\_\_

\_\_\_\_\_

Phone #: (\_\_\_\_) \_\_\_\_-\_\_\_\_\_

**1. How and when did you first learn about this opportunity?**

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_ Place: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**2. Who made the offer to you?**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number: (\_\_\_\_) \_\_\_\_-\_\_\_\_\_

**3. Was the person representing a Broker, a Dealer, or another entity?**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**4. Please give a complete description of the item offered including the name of the company.**

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\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**5. Generally, what was said about the investment to persuade you to invest?**

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6. When and where was each meeting held and who was present?

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7. Did you actually make the purchase? (Circle One) YES NO

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_ Where: \_\_\_\_\_

Amount Paid: \$\_\_\_\_\_. Paid to Whom: \_\_\_\_\_

How was payment made? Cash \_\_\_\_\_ Check \_\_\_\_\_ Note \_\_\_\_\_

Property: \_\_\_\_\_ Other: \_\_\_\_\_

8. Were you given any written information? (i.e., prospectus, projections, engineering or geological reports, financial statements, contracts, suitability statement, etc.) If so, please attach copies. YES NO

9. Did you know anything about the investment before the offer?

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If so, what? \_\_\_\_\_

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10. Did the seller tell you, or lead you to believe, anything that later turned out to be untrue? Explain:

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11. Did the seller fail to tell you anything which later turned out to be an important fact? Explain:

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12. Did you receive any documents or receipts as proof of your investment?

YES NO

If so, what did you receive? \_\_\_\_\_

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When? \_\_\_\_\_

Where? \_\_\_\_\_

13. Were there any other representations made to you after the investment? If so, please specify:

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14. What has happened with your investment after the purchase?

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15. Have you been repaid any of your investment? If so, by whom and by what means?

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16. Please add any additional statements which you believe to be important.

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17. Are you willing to be interviewed by an investigator from our office?

YES NO

18. Are you willing to be a witness if proceedings are initiated by the Securities Commissioner?

YES NO

19. Please attach copies of the following documents, if possible:

Stock Certificates

Confirmations of stock purchases

Canceled checks (front and back)

Contracts

Any correspondence related to the above

Any advertising relating to the above

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I hereby certify that I have read the information contained in and attached to this complaint and that all information I have given is accurate and complete to the best of my knowledge and belief. I will cooperate with the Division, but I understand that the staff attorneys are not my personal attorneys, and that I may seek private legal counsel on my own behalf.

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Date: \_\_\_\_\_

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Mail the completed form, along with any supporting documentation to:

Securities Division  
302 W. Washington Street  
Room E-111  
Indianapolis, IN 46204